

PATENT COOPERATION TREATY

PCT

NOTIFICATION OF THE RECORDING
OF A CHANGE(PCT Rule 92bis.1 and
Administrative Instructions, Section 422)

From the INTERNATIONAL BUREAU

To:

VANTICO AG
Patents/Scientific Information
Klybeckstrasse 200
CH-4057 Basel
SUISSE

Date of mailing (day/month/year) 05 décembre 2001 (05.12.01)	IMPORTANT NOTIFICATION
Applicant's or agent's file reference CS/K-22047/A	
International application No. PCT/EP00/06422	International filing date (day/month/year) 06 juillet 2000 (06.07.00)

1. The following indications appeared on record concerning:

☒ the applicant ☒ the inventor ☐ the agent ☐ the common representative

Name and Address

ZILG, Carsten
Schuppenhoernlestrasse 48
D-79868 Feldberg-Falkau
Germany

State of Nationality

DE

State of Residence

DE

Telephone No.

Facsimile No.

Teleprinter No.

2. The International Bureau hereby notifies the applicant that the following change has been recorded concerning:

☐ the person ☐ the name ☒ the address ☐ the nationality ☒ the residence

Name and Address

ZILG, Carsten
Steineggerhof 2
CH-8855 Wangen
Switzerland

State of Nationality

DE

State of Residence

CH

Telephone No.

Facsimile No.

Teleprinter No.

3. Further observations, if necessary:

4. A copy of this notification has been sent to:

☒ the receiving Office ☐ the designated Offices concerned
☐ the International Searching Authority ☒ the elected Offices concerned
☐ the International Preliminary Examining Authority ☐ other:
The International Bureau of WIPO
34, chemin des Colombettes
1211 Geneva 20, Switzerland

Facsimile No.: (41-22) 740.14.35

Authorized officer

Gabriele BAEHR

Telephone No.: (41-22) 338.83.38

116
From the INTERNATIONAL BUREAU

**NOTICE INFORMING THE APPLICANT OF THE
COMMUNICATION OF THE INTERNATIONAL
APPLICATION TO THE DESIGNATED OFFICES**

(PCT Rule 47.1(c), first sentence)

To:

VANTICO AG
Patents/Scientific Information
Klybeckstrasse 200
CH-4057 Basel
SUISSE

Ressort P/TM/SI | LE 5

25 Jan. 2001

PATA | PATH | SES
✓ | ✓ | SP

Date of mailing (day/month/year)

18 January 2001 (18.01.01)

Applicant's or agent's file reference

CS/K-22047/A

IMPORTANT NOTICE

International application No.

PCT/EP00/06422 ✓

International filing date (day/month/year)

06 July 2000 (06.07.00) ✓

Priority date (day/month/year)

13 July 1999 (13.07.99)

Applicant

VANTICO AG et al

(=CH/P1)

1. Notice is hereby given that the International Bureau has communicated, as provided in Article 20, the international application to the following designated Offices on the date indicated above as the date of mailing of this Notice:

US

In accordance with Rule 47.1(c), third sentence, those Offices will accept the present Notice as conclusive evidence that the communication of the international application has duly taken place on the date of mailing indicated above and no copy of the international application is required to be furnished by the applicant to the designated Office(s).

2. The following designated Offices have waived the requirement for such a communication at this time:

EP

The communication will be made to those Offices only upon their request. Furthermore, those Offices do not require the applicant to furnish a copy of the international application (Rule 49.1(a-bis)).

3. Enclosed with this Notice is a copy of the international application as published by the International Bureau on 18 January 2001 (18.01.01) under No. WO 01/04205

REMINDER REGARDING CHAPTER II (Article 31(2)(a) and Rule 54.2)

If the applicant wishes to postpone entry into the national phase until 30 months (or later in some Offices) from the priority date, a demand for international preliminary examination must be filed with the competent International Preliminary Examining Authority before the expiration of 19 months from the priority date.

It is the applicant's sole responsibility to monitor the 19-month time limit.

Note that only an applicant who is a national or resident of a PCT Contracting State which is bound by Chapter II has the right to file a demand for international preliminary examination.

REMINDER REGARDING ENTRY INTO THE NATIONAL PHASE (Article 22 or 39(1))

If the applicant wishes to proceed with the international application in the national phase, he must, within 20 months or 30 months, or later in some Offices, perform the acts referred to therein before each designated or elected Office.

For further important information on the time limits and acts to be performed for entering the national phase, see the Annex to Form PCT/IB/301 (Notification of Receipt of Record Copy) and Volume II of the PCT Applicant's Guide.

The International Bureau of WIPO
34, chemin des Colombettes
1211 Geneva 20, Switzerland

Facsimile No. (41-22) 740.14.35

Authorized officer

J. Zahra

Telephone No. (41-22) 338.83.38

PCT

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference CS/K-22047/A	FOR FURTHER ACTION See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. PCT/EP00/06422	International filing date (day/month/year) 06/07/2000	Priority date (day/month/year) 13/07/1999
International Patent Classification (IPC) or national classification and IPC C08K9/04		
Applicant VANTICO AG		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.



2. This REPORT consists of a total of 4 sheets, including this cover sheet.

- ☐ This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

These annexes consist of a total of sheets.

3. This report contains indications relating to the following items:

- I ☒ Basis of the report
- II ☐ Priority
- III ☐ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- IV ☐ Lack of unity of invention
- V ☒ Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- VI ☐ Certain documents cited
- VII ☒ Certain defects in the international application
- VIII ☐ Certain observations on the international application

Date of submission of the demand 11/12/2000	Date of completion of this report 05.09.2001
Name and mailing address of the international preliminary examining authority:  European Patent Office D-80298 Munich Tel. +49 89 2399 - 0 Tx: 523656 epmu d Fax: +49 89 2399 - 4465	Authorized officer Van de Panne, V Telephone No. +49 89 2399 8405 

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/EP00/06422

I. Basis of the report

1. With regard to the **elements** of the international application (*Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17)*):

Description, pages:

1-15 as originally filed

Claims, No.:

1-14 as originally filed

2. With regard to the **language**, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language: , which is:

- ☐ the language of a translation furnished for the purposes of the international search (under Rule 23.1(b)).
- ☐ the language of publication of the international application (under Rule 48.3(b)).
- ☐ the language of a translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in written form.
- ☐ filed together with the international application in computer readable form.
- ☐ furnished subsequently to this Authority in written form.
- ☐ furnished subsequently to this Authority in computer readable form.
- ☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- ☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. The amendments have resulted in the cancellation of:

- ☐ the description, pages:
- ☐ the claims, Nos.:
- ☐ the drawings, sheets:

5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)):

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/EP00/06422

(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)

6. Additional observations, if necessary:

V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1. Statement

Novelty (N)	Yes:	Claims	1-14
	No:	Claims	
Inventive step (IS)	Yes:	Claims	1-14
	No:	Claims	
Industrial applicability (IA)	Yes:	Claims	1-14
	No:	Claims	

2. Citations and explanations
see separate sheet

VII. Certain defects in the international application

The following defects in the form or contents of the international application have been noted:
see separate sheet

**INTERNATIONAL PRELIMINARY
EXAMINATION REPORT - SEPARATE SHEET**

International application No. PCT/EP00/06422

The documents cited in the search report do not give any rise to objections regarding novelty or inventive step.

It must however be remarked that the application does not meet the requirements of Article 6 PCT since the claims are not supported in their full scope by the description.

The working examples make plausible that the epoxidised or maleinised oils are capable of interacting with a curable epoxy resins system and will be able to function as a "built-in" modifier with a positive effect. Claim 1 however covers a multitude of curable systems which are suitable for the uses listed in claim 14 but which have little in common, such as for example anionically curing lactams, photocuring acrylates, radical-curing unsaturated polyesters, acid-curing melamine-formaldehyde adducts, polyurethanes. The modified oils will not necessarily interact with most or all of these systems and will not necessarily have a positive effect. Regarding claim 4 it is noted that there are no working examples which involve polyisocyanates and that it has not been made plausible that the effect which the invention tries to obtain will also be obtained in the case of polyurethane-forming compositions.

PCT

INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference CS/K-22047/A	FOR FURTHER ACTION see Notification of Transmittal of International Search Report (Form PCT/ISA/220) as well as, where applicable, item 5 below.	
International application No. PCT/EP 00/ 06422	International filing date (day/month/year) 06/07/2000	(Earliest) Priority Date (day/month/year) 13/07/1999
Applicant VANTICO AG		

This International Search Report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This International Search Report consists of a total of 3 sheets.
☒ It is also accompanied by a copy of each prior art document cited in this report.

1. Basis of the report

- a. With regard to the **language**, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.

☐ the international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).

- b. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international search was carried out on the basis of the sequence listing:

☐ contained in the international application in written form.

☐ filed together with the international application in computer readable form.

☐ furnished subsequently to this Authority in written form.

☐ furnished subsequently to this Authority in computer readable form.

☐ the statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.

☐ the statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished

2. ☐ **Certain claims were found unsearchable** (See Box I).

3. ☐ **Unity of invention is lacking** (see Box II).

4. With regard to the **title**,

☒ the text is approved as submitted by the applicant.

☐ the text has been established by this Authority to read as follows:

5. With regard to the **abstract**,

☒ the text is approved as submitted by the applicant.

☐ the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box III. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

6. The figure of the **drawings** to be published with the abstract is Figure No.

☐ as suggested by the applicant.

☐ because the applicant failed to suggest a figure.

☐ because this figure better characterizes the invention.

☐ None of the figures.

INTERNATIONAL SEARCH REPORT

International Application No

PCT/EP 00/06422

A. CLASSIFICATION OF SUBJECT MATTER

IPC 7 C08K9/04 C09C1/42 C09C3/10

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 C08K C09C C09K

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

WPI Data, EPO-Internal, PAJ

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	WO 96 08526 A (CORNELL RESEARCH FOUNDATION) 21 March 1996 (1996-03-21) page 4, line 3 -page 5, line 22; claims 1-12; examples	1,5
A	WO 92 20732 A (HENKEL) 26 November 1992 (1992-11-26) page 3, line 27 -page 10, line 31; claims 1,5; table 1	1
A	US 5 760 106 A (PINNAVAIA ET AL) 2 June 1998 (1998-06-02) column 3, line 20 -column 7, line 35; claims 1-13; examples	1
	-/-	

☒ Further documents are listed in the continuation of box C.

☒ Patent family members are listed in annex.

* Special categories of cited documents :

- "A" document defining the general state of the art which is not considered to be of particular relevance
- "E" earlier document but published on or after the international filing date
- "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- "O" document referring to an oral disclosure, use, exhibition or other means
- "P" document published prior to the international filing date but later than the priority date claimed

"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

"&" document member of the same patent family

Date of the actual completion of the international search

6 October 2000

Date of mailing of the international search report

16/10/2000

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2
NL - 2280 HV Rijswijk
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,
Fax: (+31-70) 340-3016

Authorized officer

Bourgonje, A

INTERNATIONAL SEARCH REPORT

In ternational Application No
PCT/EP 00/06422

C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	<p>US 5 228 912 A (HERGET ET AL) 20 July 1993 (1993-07-20) column 2, line 14 -column 3, line 59; claims 1,5,12</p>	1

INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/EP 00/06422

Patent document cited in search report		Publication date	Patent family member(s)	Publication date
WO 9608526	A	21-03-1996	US 5554670 A	10-09-1996
			AU 3419195 A	29-03-1996
			BR 9508914 A	03-11-1998
			CA 2199616 A	21-03-1996
			EP 0782593 A	09-07-1997
			JP 10505871 T	09-06-1998
			NO 971109 A	07-05-1997
WO 9220732	A	26-11-1992	DE 4117035 A	26-11-1992
			EP 0586436 A	16-03-1994
			JP 6507658 T	01-09-1994
			US 5416141 A	16-05-1995
US 5760106	A	02-06-1998	US 5801216 A	01-09-1998
US 5228912	A	20-07-1993	CS 9201529 A	16-12-1992
			DE 4207722 A	03-12-1992
			DE 59206836 D	05-09-1996
			EP 0515928 A	02-12-1992
			FI 922436 A	29-11-1992
			JP 5171058 A	09-07-1993
			MX 9202508 A	01-02-1993

INTERNATIONAL SEARCH REPORT

International Application No

PCT/EP 00/06422

A. CLASSIFICATION OF SUBJECT MATTER

IPC 7 C08K9/04 C09C1/42 C09C3/10

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 C08K C09C C09K

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

WPI Data, EPO-Internal, PAJ

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	WO 96 08526 A (CORNELL RESEARCH FOUNDATION) 21 March 1996 (1996-03-21) page 4, line 3 -page 5, line 22; claims 1-12; examples	1,5
A	WO 92 20732 A (HENKEL) 26 November 1992 (1992-11-26) page 3, line 27 -page 10, line 31; claims 1,5; table 1	1
A	US 5 760 106 A (PINNAVAIA ET AL) 2 June 1998 (1998-06-02) column 3, line 20 -column 7, line 35; claims 1-13; examples	1
	-/-	



Further documents are listed in the continuation of box C.



Patent family members are listed in annex.

* Special categories of cited documents:

- "A" document defining the general state of the art which is not considered to be of particular relevance
- "E" earlier document but published on or after the international filing date
- "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- "O" document referring to an oral disclosure, use, exhibition or other means
- "P" document published prior to the international filing date but later than the priority date claimed

"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

"X" document of particular relevance: the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

"Y" document of particular relevance: the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

"A" document member of the same patent family

Date of the actual completion of the international search

6 October 2000

Date of mailing of the international search report

16/10/2000

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentplan 2
NL - 2280 HV Rijswijk
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,
Fax: (+31-70) 340-3016

Authorized officer

Bourgonje, A

INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/EP 00/06422

Patent document cited in search report		Publication date	Patent family member(s)	Publication date
WO 9608526	A	21-03-1996	US 5554670 A	10-09-1996
			AU 3419195 A	29-03-1996
			BR 9508914 A	03-11-1998
			CA 2199616 A	21-03-1996
			EP 0782593 A	09-07-1997
			JP 10505871 T	09-06-1998
			NO 971109 A	07-05-1997
WO 9220732	A	26-11-1992	DE 4117035 A	26-11-1992
			EP 0586436 A	16-03-1994
			JP 6507658 T	01-09-1994
			US 5416141 A	16-05-1995
US 5760106	A	02-06-1998	US 5801216 A	01-09-1998
US 5228912	A	20-07-1993	CS 9201529 A	16-12-1992
			DE 4207722 A	03-12-1992
			DE 59206836 D	05-09-1996
			EP 0515928 A	02-12-1992
			FI 922436 A	29-11-1992
			JP 5171058 A	09-07-1993
			MX 9202508 A	01-02-1993